

**CHECKLIST FOR PROJECT OFFICER  
COOPERATIVE AGREEMENT PROJECT FILE**

☐ **COMPETED:** Maintained in competitive docket file for

RFP #

☐ **SOLE SOURCE:** PO file **must** have copies of reviewers' comments and conflict of interest certifications.

i. Decision Memorandum. \_\_\_\_\_

j. "Clearance of Foreign Research Award"  
(EPA Form 4540-1). \_\_\_\_\_

k. Approval by EPA Human Subjects Research  
Review Official on projects involving  
testing of human subjects. \_\_\_\_\_

4. Copy of **executed** Award (EPA Form 5700-20A). \_\_\_\_\_

**EXMT-2-3# Execution**

5. Copy of QA Program Plan or QA Project Plan  
(with copy of **completed signature page**). \_\_\_\_\_

6. Copy of all **executed amendments** (EPA Form  
5700-20B) and supporting documents. For  
example, no-cost extensions, incremental  
fundings, change of Project Officer,  
rebudgeting requests, Project/Budget period  
changes, etc. \_\_\_\_\_

7. Evidence of project monitoring (including cooperators compliance with terms and conditions)

a. Copies of progress reports. \_\_\_\_\_

b. Trip reports documenting site visits. \_\_\_\_\_

c. Documentation of correspondence, meetings,  
telephone calls, etc., that have a  
**significant bearing** on the performance of  
either the project or the recipient (and its  
contractors). For example, changes in the  
statement of work, budget, product delivery  
dates, etc. (*If in doubt, include it.*) \_\_\_\_\_

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- d. Copies of Financial Status Reports.  
(not required) \_\_\_\_\_
- e. Copy of notification to the Grants  
Specialist of any deficiencies and/or  
problems with project performance. \_\_\_\_\_
- f. Results/reports of systems or performance  
audits or both, *if required*. \_\_\_\_\_
- g. **Review and acceptance** of technical work  
products; for example, copies of peer  
reviews; copies of ORD clearance form; and  
location of final product. \_\_\_\_\_
- h. Other documents related to project management;  
for example, foreign and domestic travel not  
identified in the original contract; minor  
rebudgeting, reports of invention, etc. \_\_\_\_\_
- 8. Evidence of property management.
  - a. Approval of property purchases not identified  
in the recipient's proposal. \_\_\_\_\_
  - b. Other documentation related to property  
management. \_\_\_\_\_

**EXMT-2-4# Close Out**

- 9. Close Out
  - a. Final Report/Product (for description, see  
40 CFR 40 Part 160-5). \_\_\_\_\_
  - b. Final Financial Status Report with PO's  
concurrence. (not required) \_\_\_\_\_
  - c. Documentation of final equipment disposition. \_\_\_\_\_
  - d. Written notification to the Grants Specialist  
that all activities are completed and the  
final report has been received and is  
acceptable. \_\_\_\_\_